



IAPD Report

WALTER SCOTT BROWN

CRD# 5097576

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5

i Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

WALTER SCOTT BROWN (CRD# 5097576)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **11/13/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MONEY CONCEPTS ADVISORY SERVICE	CRD# 12963	10/07/2016
B	MONEY CONCEPTS CAPITAL CORP	CRD# 12963	10/07/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	PRIMERICA ADVISORS	10111	BRISTOL, TN	06/06/2012 - 10/11/2016
B	PFS INVESTMENTS INC.	10111	BRISTOL, TN	03/14/2006 - 10/11/2016

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No







Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MONEY CONCEPTS CAPITAL CORP**
Main Address: 11440 NORTH JOG ROAD
PALM BEACH GARDENS, FL 33418-3764
Firm ID#: 12963

	Regulator	Registration	Status	Date
	FINRA	Invest. Co and Variable Contracts	Approved	10/07/2016
	FINRA	Investment Co./Variable Contracts Prin	Approved	10/07/2016
	FINRA	General Securities Representative	Approved	01/28/2017
	Colorado	Agent	Approved	03/15/2021
	Connecticut	Agent	Approved	01/06/2020
	Florida	Agent	Approved	02/03/2022
	Georgia	Agent	Approved	03/15/2021
	Mississippi	Agent	Approved	01/06/2020
	New Hampshire	Agent	Approved	01/06/2020
	New York	Agent	Approved	01/06/2020
	North Carolina	Agent	Approved	10/07/2016
	South Carolina	Agent	Approved	01/26/2017
	Tennessee	Agent	Approved	10/07/2016



Qualifications

Regulator		Registration	Status	Date
IA	Tennessee	Investment Adviser Representative	Approved	10/07/2016
B	Virginia	Agent	Approved	10/07/2016

Branch Office Locations

MONEY CONCEPTS ADVISORY SERVICE

1227 Volunteer Parkway Suite 210
Bristol, TN 37620



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	10/15/2013

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	01/28/2017
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/13/2006

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/21/2012
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/13/2006



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/06/2012 - 10/11/2016	PRIMERICA ADVISORS	CRD# 10111	BRISTOL, TN
B	03/14/2006 - 10/11/2016	PFS INVESTMENTS INC.	CRD# 10111	BRISTOL, TN

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2016 - Present	Burnette Insurance Company	Property and Casualty Insurance Producer	N	Bristol, TN, United States
10/2016 - Present	Money Concepts Capital Corp	Registered Representative	Y	Palm Beach, FL, United States
02/1998 - Present	CITY OF BRISTOL TN	POLICE	N	BRISTOL, TN, United States
02/2006 - 10/2016	PFS INVESTMENTS INC	SALES	Y	KNOXVILLE, TN, United States
05/2005 - 10/2016	PRIMERICA FINANCIAL SERVICES	SALES	Y	KNOXVILLE, TN, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. Burnette and Associates Insurance: 1135 Volunteer Parkway Suite 3 Bristol, TN 37620. 423-968-2047. P&C insurance sales and health. Insurance Producer. Part time as of 10/2016. 20 total hours a month and zero during trading hours.
2. City of Bristol TN: 801 Anderson St Bristol, TN 37620. 423-989-5502. Police Lieutenant. Administrative Lieutenant over support services. Non-Investment related. Start date 02/16/1998. Full time 160 hours a month and 160 a month during trading hours.
3. Board Member - Bristol TN Police Officer Benevolent Fund Inc, 801 Anderson St., Bistol, TN 37620. Board Member, Director, Non-investment related, 1-10% time spent on activity during non-securities hrs.



End of Report

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